

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

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In re Patent Application of:  
Andrew D. Holmes et al.

Patent No.: 7,337,142

Issued: February 26, 2008

For: MULTIPLE EXCHANGE RATE TRACKING  
IN A FINANCIAL TRANSACTION  
MANAGER

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MS Petitions  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**REQUEST UNDER 37 CFR § 3.81**

1. A Notice of Allowance for U.S. Patent Application Serial No. 09/428,284 was issued on October 11, 2007 (*see* Tab 1).
2. The Issue Fee for U.S. Patent Application Serial No. 09/428,284 was paid on December 28, 2007. The Issue Fee Transmittal Form PTOL-85B filed on December 28, 2007, incorrectly listed “Sun Microsystems, Inc.” as the name of the assignee and “Santa Clara, California” as the residence of the assignee (*see* Tab 2).
3. U.S. Patent Application Serial No. 09/428,284 issued as U.S. Patent No. 7,337,142 on February 26, 2008 (*see* Tab 3).

4. An Assignment assigning the entire right, title, and interest in U.S. Patent Application Serial No. 09/428,284 to "Intuit Inc." was recorded on **July 18, 2000**. In other words, the Assignment was submitted for recordation as set forth in 37 CFR § 3.11 before the issuance of U.S. Patent No. 7,337,142 (*i.e.*, before February 26, 2008). The Assignment is recorded at reel/frame 010978/0371 (*see* Tab 4).
5. Applicants respectfully assert that the failure to include the correct assignee name (*i.e.*, "Intuit Inc.") and assignee residence (*i.e.*, "Mountain View, California") on the Issue Fee Transmittal Form PTOL-85B was inadvertent.
6. Applicants respectfully request that U.S. Patent No. 7,337,142 be corrected to state the name of the assignee (*i.e.*, "Intuit Inc.") and the residence of the assignee (*i.e.*, "Mountain View, California").
7. Applicants include herewith the processing fee set forth under 37 CFR § 1.17(i).
8. Applicants further include herewith a Request for a Certificate of Correction under 37 CFR § 1.323 to correct the name of the assignee and the residence of the assignee.
9. If the present Request under 37 CFR § 3.81 is granted, Applicants respectfully request that the file be forwarded to Certificates of Correction Branch for issuance of a Certificate of Correction to correct the name of the assignee and the residence of the assignee.

10. On March 21, 2008, Applicants submitted a fee for consideration of a Request for Certificate of Correction under 37 CFR § 1.323 to correct the name of the assignee and residence of the assignee (*see* Tab 5). Accordingly, Applicants believe no additional fee for the present Request for Certificate of Correction is required.

The Director is hereby authorized to charge any deficiency in the fees filed, asserted to be filed or which should have been filed herewith (or with any paper hereafter filed in this application by this firm) to our Deposit Account No. 50-0591, under Order No. 37202/117001; 990008.

Dated: November 20, 2008

Respectfully submitted,

By /Robert P. Lord/  
Robert P. Lord  
Registration No.: 46,479  
OSHA · LIANG LLP  
909 Fannin St., Suite 3500  
Houston, Texas 77010  
(713) 228-8600  
(713) 228-8778 (Fax)  
*Attorney for Applicants*

Enclosures (Tabs 1-5)

(Request for Certificate of Correction)

Docket No.: 37202/117001; 990008  
(PATENT)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

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In re Letters Patent of:  
Andrew D. Holmes et al.

Patent No.: 7,337,142

Issued: February 26, 2008

For: MULTIPLE EXCHANGE RATE TRACKING  
IN A FINANCIAL TRANSACTION  
MANAGER

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**REQUEST FOR CERTIFICATE OF CORRECTION**  
**PURSUANT TO 37 CFR § 1.323**

Attention: Certificate of Correction Branch  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Upon reviewing the above-identified patent, Patentee noted a typographical error which should be corrected.

On the Cover Sheet:

Under Section (73) Assignee, replace "Sun Microsystems, Inc., Santa Clara, CA (US)", with "--Intuit Inc., Mountain View, CA (US)--".

The error was found in the Part B- Fee(s) Transmittal as filed by applicant. The error now sought to be corrected is an inadvertent typographical error the correction of which does not involve new matter or require reexamination. The required fee under 37 CFR §1.20(a) was previously submitted on March 21, 2008.

Transmitted herewith is a proposed Certificate of Correction effecting such amendment. Patentee respectfully solicits the granting of the requested Certificate of Correction.

The Director is hereby authorized to charge any deficiency in the fees filed, asserted to be filed or which should have been filed herewith (or with any paper hereafter filed in this application by this firm) to our Deposit Account No. 50-0591, under Order No. 37202/117001; 990008.

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*Attorney for Applicants*

**UNITED STATES PATENT AND TRADEMARK OFFICE  
CERTIFICATE OF CORRECTION**

Page 1 of 1

PATENT NO. : 7,337,142  
APPLICATION NO. : 09/428,284  
ISSUE DATE : February 26, 2008  
INVENTOR(S) : Andrew D. Holmes et al.

It is certified that an error appears or errors appear in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

**On the Cover Sheet**

**Under Section (73) Assignee, replace "Sun Microsystems, Inc., Santa Clara, CA (US)", with --Intuit Inc., Mountain View, CA (US)--.**

MAILING ADDRESS OF SENDER (Please do not use customer number below):

Robert P. Lord  
OSHA · LIANG LLP  
909 Fannin St., Suite 3500  
Houston, Texas 77010

## **TAB 1**



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

## NOTICE OF ALLOWANCE AND FEE(S) DUE

7590

10/11/2007

Robert P. Lord  
OSHA. LIANG LLP  
1221 McKinney Street, Suite 2800  
Houston, TX 77010

EXAMINER

BAYAT, BRADLEY B

ART UNIT

PAPER NUMBER

3621

DATE MAILED: 10/11/2007

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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09/428,284

10/27/1999

ANDREW D. HOLMES

37202/117001; 990008

4449

TITLE OF INVENTION: MULTIPLE EXCHANGE RATE TRACKING IN A FINANCIAL TRANSACTION MANAGER

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	\$1440	\$0	\$0	\$1440	01/11/2008

**THE APPLICATION IDENTIFIED ABOVE HAS BEEN EXAMINED AND IS ALLOWED FOR ISSUANCE AS A PATENT. PROSECUTION ON THE MERITS IS CLOSED. THIS NOTICE OF ALLOWANCE IS NOT A GRANT OF PATENT RIGHTS. THIS APPLICATION IS SUBJECT TO WITHDRAWAL FROM ISSUE AT THE INITIATIVE OF THE OFFICE OR UPON PETITION BY THE APPLICANT. SEE 37 CFR 1.313 AND MPEP 1308.**

**THE ISSUE FEE AND PUBLICATION FEE (IF REQUIRED) MUST BE PAID WITHIN THREE MONTHS FROM THE MAILING DATE OF THIS NOTICE OR THIS APPLICATION SHALL BE REGARDED AS ABANDONED. THIS STATUTORY PERIOD CANNOT BE EXTENDED. SEE 35 U.S.C. 151. THE ISSUE FEE DUE INDICATED ABOVE DOES NOT REFLECT A CREDIT FOR ANY PREVIOUSLY PAID ISSUE FEE IN THIS APPLICATION. IF AN ISSUE FEE HAS PREVIOUSLY BEEN PAID IN THIS APPLICATION (AS SHOWN ABOVE), THE RETURN OF PART B OF THIS FORM WILL BE CONSIDERED A REQUEST TO REAPPLY THE PREVIOUSLY PAID ISSUE FEE TOWARD THE ISSUE FEE NOW DUE.**

### HOW TO REPLY TO THIS NOTICE:

#### I. Review the SMALL ENTITY status shown above.

If the SMALL ENTITY is shown as YES, verify your current SMALL ENTITY status:

A. If the status is the same, pay the TOTAL FEE(S) DUE shown above.

B. If the status above is to be removed, check box 5b on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and twice the amount of the ISSUE FEE shown above, or

If the SMALL ENTITY is shown as NO:

A. Pay TOTAL FEE(S) DUE shown above, or

B. If applicant claimed SMALL ENTITY status before, or is now claiming SMALL ENTITY status, check box 5a on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and 1/2 the ISSUE FEE shown above.

II. PART B - FEE(S) TRANSMITTAL, or its equivalent, must be completed and returned to the United States Patent and Trademark Office (USPTO) with your ISSUE FEE and PUBLICATION FEE (if required). If you are charging the fee(s) to your deposit account, section "4b" of Part B - Fee(s) Transmittal should be completed and an extra copy of the form should be submitted. If an equivalent of Part B is filed, a request to reapply a previously paid issue fee must be clearly made, and delays in processing may occur due to the difficulty in recognizing the paper as an equivalent of Part B.

III. All communications regarding this application must give the application number. Please direct all communications prior to issuance to Mail Stop ISSUE FEE unless advised to the contrary.

**IMPORTANT REMINDER: Utility patents issuing on applications filed on or after Dec. 12, 1980 may require payment of maintenance fees. It is patentee's responsibility to ensure timely payment of maintenance fees when due.**



## **TAB 2**

## PART B - FEE(S) TRANSMITTAL

Complete and send this form, together with applicable fee(s), to: **Mail Stop ISSUE FEE**  
**Commissioner for Patents**  
**P.O. Box 1450**  
**Alexandria, Virginia 22313-1450**  
 or **Fax (571)-273-2885**

INSTRUCTIONS: This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 5 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

CURRENT CORRESPONDENCE ADDRESS (Note: Use Block 1 for any change of address)

7590

10/11/2007

Robert P. Lord  
 OSHA. LIANG LLP  
 1221 McKinney Street, Suite 2800  
 Houston, TX 77010

Note: A certificate of mailing can only be used for domestic mailings of the Fee(s) Transmittal. This certificate cannot be used for any other accompanying papers. Each additional paper, such as an assignment or formal drawing, must have its own certificate of mailing or transmission.

## Certificate of Mailing or Transmission

I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Mail Stop ISSUE FEE address above, or being facsimile transmitted to the USPTO (571) 273-2885, on the date indicated below.

(Depositor's name)
(Signature)
(Date)

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
-----------------	-------------	----------------------	---------------------	------------------

09/428,284

10/27/1999

ANDREW D. HOLMES

37202/117001; 990008

4449

TITLE OF INVENTION: MULTIPLE EXCHANGE RATE TRACKING IN A FINANCIAL TRANSACTION MANAGER

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
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nonprovisional

NO

\$1440

\$0

\$0

\$1440

01/11/2008

EXAMINER	ART UNIT	CLASS-SUBCLASS
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BAYAT, BRADLEY B

3621

705-039000

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).

☐ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.

☐ "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-02 or more recent) attached. Use of a Customer Number is required.

2. For printing on the patent front page, list

(1) the names of up to 3 registered patent attorneys or agents OR, alternatively,

(2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed.

1 Osha Liang LLP2 3 

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document has been filed for recordation as set forth in 37 CFR 3.11. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE

(B) RESIDENCE: (CITY and STATE OR COUNTRY)

Sun Microsystems, Inc.

Santa Clara, California

Please check the appropriate assignee category or categories (will not be printed on the patent): ☐ Individual ☒ Corporation or other private group entity ☐ Government

4a. The following fee(s) are submitted:

☒ Issue Fee

☐ Publication Fee (No small entity discount permitted)

☐ Advance Order - # of Copies \_\_\_\_\_

4b. Payment of Fee(s): (Please first reapply any previously paid issue fee shown above)

☐ A check is enclosed.

☒ Payment by credit card.

☒ The Director is hereby authorized to charge the required fee(s), any deficiency, or credit any overpayment, to Deposit Account Number 50-0591 (enclose an extra copy of this form).

5. Change in Entity Status (from status indicated above)

☐ a. Applicant claims SMALL ENTITY status. See 37 CFR 1.27.

☐ b. Applicant is no longer claiming SMALL ENTITY status. See 37 CFR 1.27(g)(2).

NOTE: The Issue Fee and Publication Fee (if required) will not be accepted from anyone other than the applicant; a registered attorney or agent; or the assignee or other party in interest as shown by the records of the United States Patent and Trademark Office.

Authorized Signature

Robert P. Lord

Date December 28, 2007

Typed or printed name

Robert P. Lord

Registration No. 46,479

This collection of information is required by 37 CFR 1.311. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

## **TAB 3**



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NO.	ISSUE DATE	PATENT NO.	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/428,284	02/26/2008	7337142	37202/117001; 990008	4449

57956 7590 02/06/2008  
OSHA - LIANG L.L.P. (INTUIT)  
1221 MCKINNEY STREET  
SUITE 2800  
HOUSTON, TX 77010

## ISSUE NOTIFICATION

The projected patent number and issue date are specified above.

### **Determination of Patent Term Extension under 35 U.S.C. 154 (b)** (application filed after June 7, 1995 but prior to May 29, 2000)

The Patent Term Extension is 0 day(s). Any patent to issue from the above-identified application will include an indication of the 0 day extension on the front page.

If a Continued Prosecution Application (CPA) was filed in the above-identified application, the filing date that determines Patent Term Extension is the filing date of the most recent CPA.

Any questions regarding the Patent Term Extension or Adjustment determination should be directed to the Office of Patent Legal Administration at (571)-272-7702. Questions relating to issue and publication fee payments should be directed to the Customer Service Center of the Office of Patent Publication at (571)-272-4200.

APPLICANT(s) (Please see PAIR WEB site <http://pair.uspto.gov> for additional applicants):

ANDREW D. HOLMES, EDMONTON, CANADA;  
LEE HORIGAN, TORONTO, CANADA;  
JEFFREY A. LANGSTON, PALO ALTO, CA;  
DAVID MCMURTRY, LOS ALTOS, CA;  
SYLVAIN TREMBLAY, BEAUMONT, CANADA;  
RAYMOND P. TROUNDAY, DALY CITY, CA;

## **TAB 4**



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

SEPTEMBER 26, 2000

PTAS

FENWICK & WEST LLP  
AMIR H. RAUBVOGEL  
2 PALO ALTO SQUARE  
PALO ALTO, CA 94306



RECEIVED

OCT 09 2000

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT FENWICK & WEST LLP

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 07/18/2000

REEL/FRAME: 010978/0371  
NUMBER OF PAGES: 59

BRIEF: CORRECTIVE ASSIGNMENT TO CORRECT THE ZIP CODE OF ASSIGNEE, RECORDED AT REEL 010570, FRAME 0144.

ASSIGNOR:  
HOLMES, ANDREW D.

DOC DATE: 05/24/2000

ASSIGNOR:  
HORIGAN, LEE

DOC DATE: 05/25/2000

ASSIGNOR:  
LANGSTON, JEFFREY A.

DOC DATE: 05/25/2000

ASSIGNOR:  
MCMURTRY, DAVID

DOC DATE: 07/07/2000

ASSIGNOR:  
TREMBLAY, SYLVAIN

DOC DATE: 05/25/2000

ASSIGNOR:  
TROUNDAY, RAYMOND P.

DOC DATE: 05/26/2000

010978/0371 PAGE 2

ASSIGNEE:

INTUIT INC.  
2535 GARCIA AVENUE  
A DELAWARE CORPORATION  
MOUNTAIN VIEW, CALIFORNIA 94043

SERIAL NUMBER: 09428284  
PATENT NUMBER:

FILING DATE: 10/27/1999  
ISSUE DATE:

MARY BENTON, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

## **TAB 5**



Docket No.: 37202/117001; 990008US  
(PATENT)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

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In re Letters Patent of:  
Andrew D. Holmes et al.

Patent No.: 7,337,142

Issued: February 26, 2008

For: MULTIPLE EXCHANGE RATE TRACKING  
IN A FINANCIAL TRANSACTION  
MANAGER

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**REQUEST FOR CERTIFICATE OF CORRECTION  
PURSUANT TO 37 CFR 1.323**

Attention: Certificate of Correction Branch  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Upon reviewing the above-identified patent, Patentee noted a typographical error which should be corrected.

On the Cover Sheet:

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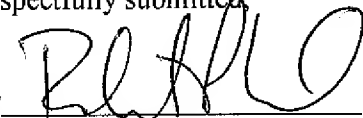
Transmitted herewith is a proposed Certificate of Correction effecting such amendment. Patentee respectfully solicits the granting of the requested Certificate of Correction.

The Director is hereby authorized to charge any deficiency in the fees filed, asserted to be filed or which should have been filed herewith (or with any paper hereafter filed in this application by this firm) to our Deposit Account No. 50-0591, under Order No. 37202/117001; 990008US. A duplicate copy of this paper is enclosed.

Dated: March 21, 2008

Respectfully submitted,

By



Robert P. Lord

Registration No.: 46,479

OSHA · LIANG LLP

1221 McKinney St., Suite 2800

Houston, Texas 77010

(713) 228-8600

(713) 228-8778 (Fax)

Attorney for Applicant

**UNITED STATES PATENT AND TRADEMARK OFFICE  
CERTIFICATE OF CORRECTION**

Page 1 of 1

PATENT NO. : 7,337,142  
APPLICATION NO. : 09/428,284  
ISSUE DATE : February 26, 2008  
INVENTOR(S) : Andrew D. Holmes et al.

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**On the Cover Sheet**

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Houston, Texas 77010